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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Bhagwat et al.

Serial No.: To be Assigned (Division of  
Application No.: 10/085,999, filed February  
27, 2002)

Group Art Unit: To be Assigned

Filed: December 8, 2003

Examiner: To be Assigned

For: COMPOUNDS AND METHODS  
FOR MODULATION OF  
ESTROGEN RECEPTORS

Attorney Docket No.: 10624-136-999

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.56 and 1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent and Trademark Office of all references coming to the attention of each individual associated with the filing and prosecution of the above-identified application that are or might be related to patentability of the claimed invention, Attorneys for Applicants hereby invite the Examiner's attention to references **AA-CX**, which are listed on the accompanying revised Form PTO-1449 entitled "List of References Cited By Applicant."

The above-identified application is a divisional application of U.S. Patent Application No. 10/085,999, filed February 27, 2002. References **AA-CX** are of record in U.S. Patent Application No. 10/085,999. Therefore, pursuant to 37 C.F.R. §1.98(d), copies of these references are not submitted herewith. However, copies of these references will be made available to the Examiner upon request.

Identification of the listed references is not to be construed as an admission that such references are available as "prior art" against the subject application.

Applicants respectfully request that the Examiner review references **AA-CX** identified on the attached Form PTO-1449 and make them of record in the file history of the above-identified application by initializing the attached Form PTO-1449.

Pursuant to 37 C.F.R. § 1.97(b)(3), since this Information Disclosure Statement is being submitted before the mailing of a first Office action on the merits, no fee is believed to be due. However, should the Patent and Trademark Office determine that a fee is required, please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this document is enclosed for accounting purposes.

Date December 8, 2003

Respectfully submitted,

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<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)					ATTY. DOCKET NO. 10624-136-999		APPLICATION NO. To be assigned	
					APPLICANT Bhagwat et al.			
					FILING DATE November 26, 2003		GROUP To be assigned	
<b>U.S. PATENT DOCUMENTS</b>								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	3,234,090	02/08/66	Huebner and Bencze	167	58		
	AB	3,274,123	09/20/66	Lednicer	260	326.5		
	AC	3,277,106	10/04/66	Bencze	260	295		
<b>FOREIGN PATENT DOCUMENTS</b>								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AD	EP 1 113 007 A1	4/7/01	EPO				
	AE	WO 00/39120	7/6/00	WIPO				
	AF	WO 00/55137	9/21/00	WIPO				
	AG	EP 842 661 A2	05/20/98	EPO				
	AH	WO 92/18498	10/29/92	WIPO				
	AI	WO 96/21656	07/18/96	WIPO				
	AJ	JP 1,143,833	11/1987	Japan (Akasu et al.)				
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
	AK	Brandenberger et al., 1998, "estrogen Receptor Alpha (ER- $\alpha$ ) and Estrogen Receptor Beta (ER- $\beta$ ) mRNAs in Normal Ovary, Ovarian Serous Cystadenocarcinoma and Ovarian Cancer Cell Lines: Down-Regulation of ER- $\beta$ in Neoplastic Tissues", J. Clin. Endocrinol. Metab. 83:1025-8.						
	AL	Chang and Prins, 1999, "Estrogen receptor-beta: implications for the prostate gland", Prostate, 40:115-24						
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	AQ	Korach et al., 1994, "Insights from the study of animals lacking functional estrogen receptor", Science 266:1524-7.						
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	AS	Lednicer et al., 1969, "Mammalian Antifertility Agents. VI. A Novel sequence for the Preparation of 1,2-Disubstituted 3,4-Dehydronaphthalenes," J. of Med. Chem. 12:881-885.						

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AV	Ogawa et al., 1997, "Behavioral effects of estrogen receptor gene disruption in male mice", Proc. Natl. Acad. Sci. USA 94:1476-81
AW	Rissman et al., 1997, "Estrogen receptor function as revealed by knockout studies: neuroendocrine and behavioral aspects", Horm. Behavior 31:232-243
AX	Rissman et al., 1997, "Estrogen receptors are essential for female sexual receptivity", Endocrinology 138:507-10.
AY	Rohlf et al., 1998, "Prostate cancer cell growth inhibition by tamoxifen is associated with inhibition of protein kinase C and induction of p21 (waf1/cip1)", Prostate 37:51-9.
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BS	Gustafsson, "Therapeutic Potential of Selective Estrogen Receptor Modulators," Current Opinion in Chemical Biology 2:508-511, 1998.

BT	Katzenellenbogen and Korach, "Editorial: A New Actor in the Estrogen Receptor Drama-Enter ER- $\beta$ ," Endocrinology 138(3):861-862, 1997.
BU	Kuiper et al., "Cloning of a Novel Estrogen Receptor Expressed in Rat Prostate and Ovary," Proc. Natl. Acad. Sci. USA 93:5925-5930, 1996.
BV	Kuiper et al., "Comparison of the Ligand Binding Specificity and Transcript Tissue Distribution of Estrogen Receptors $\alpha$ and $\beta$ ," Endocrinology 138(3):863-870, 1997.
BW	Kuiper et al., "Interaction of Estrogenic Chemicals and Phytoestrogens with Estrogen Receptor $\beta$ ," Endocrinology 139(10):4252-4263, 1998.
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BY	Mosselman et al., "ER $\beta$ " Identification and Characterization of a Novel Human Estrogen Receptor," FEBS Letters 392:49-53, 1996.
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CC	Petersen et al., "Identification of Estrogen Receptor $\beta_2$ , A Functional Variant of Estrogen Receptor $\beta$ Expressed in Normal Rat Tissues," Endocrinology 139(2):1082-1092, 1998.
CD	Suen et al., "A Transcriptional Coactivator, Steroid Receptor Coactivator-3, Selectively Augments Steroid Receptor Transcriptional Activity," The Journal of Biological Chemistry 273(42):27645-27653, 1998.
CE	Telleria et al., "Differential Expression of the Estrogen Receptors $\alpha$ and $\beta$ in the Rat Corpus Luteum of Pregnancy: Regulation by Prolactin and Placental Lactogens," Endocrinology 139:2432-2442, 1998.
CF	Tong et al., "QSAR Models for Binding of Estrogenic Compounds to Estrogen Receptor $\alpha$ and $\beta$ Subtypes," Endocrinology 138(9):4022-4025, 1997.
CG	Tremblay et al., "EM-800, a Novel Antiestrogen, Acts as a Pure Antagonist of the Transcriptional Functions of Estrogen Receptors $\alpha$ and $\beta$ ," Endocrinology 139(1):111-118, 1998.
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CJ	CAS printout for Sainsbury et al., Tetrahedron 48: 8739-50, 1992.
CK	CAS printout for Tantisewie et al., J. Nat. Prod. 53: 553-8, 1990.
CL	CAS printout for Akasu et al., Japanese Patent No. 1,143,833.
CM	CAS printout for Mandell et al., Heterocycles 26: 713-720, 1987.
CN	CAS printout for Guinaudeau et al., Tetrahedron 40: 1975-82, 1984.
CO	CAS printout for U.S. Patent App. No. 577,817.
CP	CAS printout for Bruneton et al., J. Org. Chem. 48: 3957-60, 1983.
CQ	CAS printout for Hsu et al., Helv. Chim. Acta 65: 1576-89, 1982.
CR	CAS printout for Kashdan et al., J. Org. Chem. 47: 2638-43, 1982.
CS	CAS printout for Razdan et al., J. Org. Chem. 44: 3730-1, 1979.
CT	CAS printout for Popp et al., J. Heterocycl. Chem. 15: 429-32, 1978.
CU	CAS printout for Gibson et al., J. Chem. Soc. 16: 2234-8, 1970.

	CV	CAS printout for Shavel et al., U.S. Patent No. 3,438,989.
	CW	CAS printout for Weisbach et al., J. Med. Chem. 11: 752-60, 1968.
	CX	CAS printout for Battersby et al., J. Chem. Soc. 18: 1739-44, 1967.
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>
<p><b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with <b>MPEP 609</b>; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>		